

Request for Records Disposition Authority

Records Schedule Number DAA-GRS-2014-0005

Schedule Status Modified Approved Version

Agency or Establishment General Records Schedules (National Archives and Records Administration)

Record Group / Scheduling Group General Records Schedules

Records Schedule applies to Government-wide

Schedule Subject GRS 2.8: Employee Ethics Records

Internal agency concurrences will be provided No

Background Information This schedule covers records documenting the activities of executive branch agency ethics program offices.

Records not covered by this schedule: Records pertaining to legislative branch and judicial branch ethics programs, the Hatch Act, the Whistleblower Protection Act, procurement integrity, and other areas often associated with, but not expressly under, the authority of executive branch ethics programs.

Lists not included in this schedule: Master Lists of financial disclosure report filers, individuals requesting outside employment and activities approval, and other types of ethics-related master lists. Ethics-related master lists that are used solely for the purpose of tracking and controlling ethics records should be disposed of in accordance with GRS 4.1, Tracking and Control Records. Master Lists that are used for purposes other than tracking and controlling ethics records should be disposed of in accordance with the disposition for the underlying records as listed in this schedule or as otherwise scheduled.

For ethics training records, see GRS 2.6, Employee Training Records.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
18	0	18	0

GAO Approval

Outline of Records Schedule Items for DAA-GRS-2014-0005

Sequence Number	
1	General Ethics Program Records Disposition Authority Number: DAA-GRS-2014-0005-0001
2	Referrals and Notifications of Violations of Criminal Conflict of Interest Statutes and Other Potential Violations Files. Disposition Authority Number: DAA-GRS-2014-0005-0002
3	Reports of payments accepted from non-Federal sources.
3.1	Agency Reports Disposition Authority Number: DAA-GRS-2014-0005-0003
3.2	Supporting Documentation Disposition Authority Number: DAA-GRS-2014-0005-0004
4	Office of Government Ethics Program Questionnaire Records Disposition Authority Number: DAA-GRS-2014-0005-0005
5	Ethics Program Review Records Disposition Authority Number: DAA-GRS-2014-0005-0006
6	Public Financial Disclosure Reports
6.1	Reports for individuals filing in accordance with the Ethics in Government Act, as amended (5 U.S.C. app.), including the Stop Trading on Congressional Knowledge Act of 2012 (STOCK Act) (Pub. L. 112-105), and not subsequently confirmed by the U.S. Senate. Disposition Authority Number: DAA-GRS-2014-0005-0007
6.2	All other reports. Disposition Authority Number: DAA-GRS-2014-0005-0008
6.3	Periodic transaction reports. Disposition Authority Number: DAA-GRS-2014-0005-0009
6.4	Requests to Inspect or Receive Copies of Executive Branch Personnel Public Financial Disclosure Reports or Other Covered Records (OGE Form 201 or agency equivalent form). Disposition Authority Number: DAA-GRS-2014-0005-0010
7	Confidential Financial Disclosure Reports
7.1	Reports for individuals not subsequently confirmed by the U.S. Senate. Disposition Authority Number: DAA-GRS-2014-0005-0011
7.2	All other reports. Disposition Authority Number: DAA-GRS-2014-0005-0012
7.3	OGE Optional Form 450-A reports. Disposition Authority Number: DAA-GRS-2014-0005-0013
8	Alternative or additional financial disclosure reports and related records.

- 8.1 Reports for individuals not subsequently confirmed by the U.S. Senate.
Disposition Authority Number: DAA-GRS-2014-0005-0014
- 8.2 All other reports.
Disposition Authority Number: DAA-GRS-2014-0005-0015
- 9 Financial Disclosure Supporting Documentation
Disposition Authority Number: DAA-GRS-2014-0005-0016
- 10 Ethics Agreements Records
 - 10.1 Agreements for employees who do not file financial disclosure reports.
Disposition Authority Number: DAA-GRS-2014-0005-0017
 - 10.2 Agreements for employees who file financial disclosure reports.
Disposition Authority Number: DAA-GRS-2014-0005-0018

Records Schedule Items

Sequence Number					
1	<p>General Ethics Program Records</p> <p>Disposition Authority Number DAA-GRS-2014-0005-0001</p> <p>Records created and maintained to coordinate and manage an agency's ethics program. Records relate to the development, review, implementation, and interpretation of proposed or established executive branch standards of ethical conduct and other ethics regulations; conflict of interest and other ethics-related statutes and Executive Orders; and any agency supplemental standards of ethical conduct and other agency ethics-related regulations and directives. Includes:</p> <ul style="list-style-type: none"> • Records documenting the review of proposed or established ethics-related statutes and regulations by ethics program officials, including copies of proposed legislation, comments, and all related records. • Determinations, including advice and counseling to individual employees, and supporting records. • Records relating to requests under agency supplemental standards of ethical conduct for prior approval of outside employment and activities. <p>Final Disposition Temporary</p> <p>Item Status Inactive</p> <p>Is this item media neutral? Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes</p> <p>Do any of the records covered by this item exist as structured electronic data? Yes</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 50%;">Manual Citation</th> <th style="width: 50%;">Manual Title</th> </tr> </thead> <tbody> <tr> <td>GRS 2.8, item 010</td> <td></td> </tr> </tbody> </table> <p>GRS or Superseded Authority Citation N1-GRS-01-001 / 1A N1-GRS-01-1, item 1b N1-GRS-01-1, item 9</p> <p>Inactive Status Explanation This item is inactive because it was superseded by New Disposition Authority Number: DAA-GRS-2016-0006-0001</p> <p>Disposition Instruction</p> <p>Retention Period Destroy 6 years following the conclusion of an ethics regulatory review, provision of advice to an</p>	Manual Citation	Manual Title	GRS 2.8, item 010	
Manual Citation	Manual Title				
GRS 2.8, item 010					

employee, making a determination regarding outside employment, or when no longer needed for an active investigation; whichever is later, but longer retention is authorized if required for business use.

Additional Information

GAO Approval Not Required

Referrals and Notifications of Violations of Criminal Conflict of Interest Statutes and Other Potential Violations Files.

Disposition Authority Number DAA-GRS-2014-0005-0002

Referrals to Inspectors General or the Department of Justice concerning ethics violations or suspected violations. This item also covers related background materials, including copies of disciplinary and corrective actions and disposition documents such as declinations of prosecution, and copies of OGE Form 202, Notification of Conflict of Interest Referral.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

Manual Citation	Manual Title
GRS 2.8, item 020	

GRS or Superseded Authority Citation N1-GRS-01-1, item 4

Disposition Instruction

Retention Period Destroy 6 year(s) after final disposition of the referral to either the IG or DOJ, but longer retention is authorized if required for business use.

Additional Information

GAO Approval Not Required

Reports of payments accepted from non-Federal sources.

Agency Reports

2

3

3.1

Disposition Authority Number **DAA-GRS-2014-0005-0003**

Reports, including the "Semiannual Report of Payments Accepted from a Non-Federal Source," submitted by agencies to the Office of Government Ethics and reported on the OGE Form 1353 (SF 326). Reports summarize payments made to the agency from non-Federal sources for travel, subsistence, and related expenses of an employee who attends a meeting or similar function relating to official duties.

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**

Do any of the records covered by this item exist as structured electronic data? **Yes**

Manual Citation	Manual Title
GRS 2.8, item 030	

GRS or Superseded Authority Citation **N1-GRS-01-1, item 5a**

Disposition Instruction

Retention Period **Destroy 3 years following submission of the report to OGE, but longer retention is authorized if required for business use.**

Additional Information

GAO Approval **Not Required**

Supporting Documentation

Disposition Authority Number **DAA-GRS-2014-0005-0004**

Documentation, such as statements and forms, used to complete the submitted reports.

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**

3.2

Do any of the records covered by this item exist as structured electronic data? **Yes**

Manual Citation	Manual Title
GRS 2.8, item 031	

GRS or Superseded Authority Citation **N1-GRS-01-1, item 5b**

Disposition Instruction

Retention Period **Destroy 1 year following submission of the report to OGE, but longer retention is authorized if required for business use.**

Additional Information

GAO Approval **Not Required**

Office of Government Ethics Program Questionnaire Records

Disposition Authority Number **DAA-GRS-2014-0005-0005**

Questionnaires completed by ethics officials, such as the "Annual Agency Ethics Program Questionnaire," the "Annual Agency Ethics Officer (DAEO) Survey," and other questionnaires and surveys, including records created or collected to prepare responses to ethics program questionnaires and surveys.

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**

Do any of the records covered by this item exist as structured electronic data? **Yes**

Manual Citation	Manual Title
GRS 2.8, item 040	

GRS or Superseded Authority Citation **N1-GRS-01-1, item 7a
N1-GRS-01-1, item 7b**

Disposition Instruction

4

5

Retention Period Destroy 3 year(s) after submission, but longer retention is authorized if required for business use.

Additional Information

GAO Approval Not Required

Ethics Program Review Records

Disposition Authority Number DAA-GRS-2014-0005-0006

Records relating to OGE reviews of agency compliance with executive branch ethics laws and regulations in such areas as financial disclosure, education and training, and advice and counseling. This includes OGE program review reports, notes and background materials produced during OGE program reviews, agency 60-day response letters, and other follow-up records sent to OGE on the resolution of program deficiencies.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

Manual Citation	Manual Title
GRS 2.8, item 050	

GRS or Superseded Authority Citation N1-GRS-01-1, item 6a
N1-GRS-01-1, item 6b

Disposition Instruction

Retention Period Destroy 6 year(s) after all outstanding ethics program review deficiencies have been resolved or when the documentation for the next program review is on file, whichever is later. Longer retention is authorized if needed for business use.

Additional Information

GAO Approval Not Required

Public Financial Disclosure Reports

6

6.1

Executive Branch Personnel Public Financial Disclosure Reports (OGE Form 278) (formerly SF 278), OGE Form 278e, and related records.

Reports for individuals filing in accordance with the Ethics in Government Act, as amended (5 U.S.C. app.), including the Stop Trading on Congressional Knowledge Act of 2012 (STOCK Act) (Pub. L. 112-105), and not subsequently confirmed by the U.S. Senate.

Disposition Authority Number **DAA-GRS-2014-0005-0007**

Legal citation: 5 U.S.C. app. section 105, 5 CFR 2634.603

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**

Do any of the records covered by this item exist as structured electronic data? **Yes**

Manual Citation	Manual Title
GRS 2.8, item 060	

GRS or Superseded Authority Citation **N1-GRS-01-1, item 2a1**

Disposition Instruction

Retention Period **Destroy 1 year(s) after nominee ceases to be under consideration for the position or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed.**

Additional Information

GAO Approval **Not Required**

6.2

All other reports.

Disposition Authority Number **DAA-GRS-2014-0005-0008**

Legal Citation: 5 U.S.C. app., 5 CFR part 2634

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**

Do any of the records covered by this item exist as structured electronic data? **Yes**

Manual Citation	Manual Title
GRS 2.8, item 061	

GRS or Superseded Authority Citation **N1-GRS-01-1, item 2a2**

Disposition Instruction

Retention Period **Destroy 6 year(s) after receipt of the OGE Form 278 or 278e by the agency or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed.**

Additional Information

GAO Approval **Not Required**

Periodic transaction reports.

Disposition Authority Number **DAA-GRS-2014-0005-0009**

OGE 278-T forms filed by reporting individuals in accordance with the STOCK Act of 2012, and related records. Legal Citation: 5 U.S.C. app.

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**

Do any of the records covered by this item exist as structured electronic data? **Yes**

Manual Citation	Manual Title
GRS 2.8, item 062	

Disposition Instruction

6.3

6.4	Retention Period	Destroy 7 year(s) after receipt by the agency or when the related subsequent OGE Form 278 (SF 278) is ready for destruction 6 years later. The reports may be retained longer if needed for active investigation. This disposition instruction is mandatory; deviations are not allowed.				
	Additional Information					
	GAO Approval	Not Required				
	Requests to Inspect or Receive Copies of Executive Branch Personnel Public Financial Disclosure Reports or Other Covered Records (OGE Form 201 or agency equivalent form).					
	Disposition Authority Number	DAA-GRS-2014-0005-0010				
	Final Disposition	Temporary				
	Item Status	Active				
	Is this item media neutral?	Yes				
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes				
	Do any of the records covered by this item exist as structured electronic data?	Yes				
<table border="1"> <thead> <tr> <th>Manual Citation</th> <th>Manual Title</th> </tr> </thead> <tbody> <tr> <td>GRS 2.8, item 063</td> <td></td> </tr> </tbody> </table>			Manual Citation	Manual Title	GRS 2.8, item 063	
Manual Citation	Manual Title					
GRS 2.8, item 063						
7	Disposition Instruction					
	Retention Period	Destroy when the requested report is destroyed. This disposition instruction is mandatory; deviations are not allowed.				
	Additional Information					
	GAO Approval	Not Required				
	Confidential Financial Disclosure Reports Executive Branch Confidential Financial Disclosure Reports (OGE Form 450) and Confidential Certificates of No New Interests (OGE Optional Form 450-A), and related records.					
7.1	Reports for individuals not subsequently confirmed by the U.S. Senate.					
	Disposition Authority Number	DAA-GRS-2014-0005-0011				

Final Disposition **Temporary**
 Item Status **Active**
 Is this item media neutral? **Yes**
 Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**
 Do any of the records covered by this item exist as structured electronic data? **Yes**

Manual Citation	Manual Title
GRS 2.8, item 070	

GRS or Superseded Authority Citation **N1-GRS-01-1, item 2b1**

Disposition Instruction

Retention Period **Destroy 1 year(s) after nominee ceases to be under consideration for the position or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed.**

Additional Information

GAO Approval **Not Required**

All other reports.

Disposition Authority Number **DAA-GRS-2014-0005-0012**

Legal Citation: 5 CFR part 2634.604

Final Disposition **Temporary**
 Item Status **Active**
 Is this item media neutral? **Yes**
 Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**
 Do any of the records covered by this item exist as structured electronic data? **Yes**

Manual Citation	Manual Title

7.2

GRS 2.8, item 071	
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GRS or Superseded Authority Citation N1-GRS-01-1, item 2b2-in part

Disposition Instruction

Retention Period Destroy 6 year(s) after receipt of the OGE Form 450 by the agency, except when the OGE Form 450 supports one or more subsequent Optional OGE Form 450-As then destroy 6 years after receipt of the last related OGE Form 450-A by the agency, or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed.

Additional Information

GAO Approval Not Required

OGE Optional Form 450-A reports.

Disposition Authority Number DAA-GRS-2014-0005-0013

Note: The OGE Form 450-A, filed for up to 3 consecutive years following the filing of an OGE Form 450, is an alternative disclosure report to the OGE Form 450 when there are no new interests to be reported by the filer. The "supporting OGE Form 450" cannot be destroyed until the last OGE Form 450-A report is ready for destruction.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

Manual Citation	Manual Title
GRS 2.8, item 072	

GRS or Superseded Authority Citation N1-GRS-01-1, item 2b2-in part

Disposition Instruction

7.3

	<p>Retention Period Destroy 6 year(s) after receipt of the OGE Form 450-A report by the agency, along with the associated OGE Form 450, or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed.</p>				
<p>8 8.1</p>	<p>Additional Information</p> <p>GAO Approval Not Required</p> <p>Alternative or additional financial disclosure reports and related records. Reports for individuals not subsequently confirmed by the U.S. Senate.</p> <p>Disposition Authority Number DAA-GRS-2014-0005-0014</p> <p>Final Disposition Temporary</p> <p>Item Status Active</p> <p>Is this item media neutral? Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes</p> <p>Do any of the records covered by this item exist as structured electronic data? Yes</p> <table border="1" data-bbox="344 1150 1526 1255"> <thead> <tr> <th data-bbox="344 1150 935 1199">Manual Citation</th> <th data-bbox="935 1150 1526 1199">Manual Title</th> </tr> </thead> <tbody> <tr> <td data-bbox="344 1199 935 1255">GRS 2.8, item 080</td> <td data-bbox="935 1199 1526 1255"></td> </tr> </tbody> </table>	Manual Citation	Manual Title	GRS 2.8, item 080	
Manual Citation	Manual Title				
GRS 2.8, item 080					
<p>8.2</p>	<p>GRS or Superseded Authority Citation N1-GRS-01-1, item 2c1</p> <p>Disposition Instruction</p> <p>Retention Period Destroy 1 year(s) after nominee ceases to be under consideration for the position or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed.</p> <p>Additional Information</p> <p>GAO Approval Not Required</p> <p>All other reports.</p> <p>Disposition Authority Number DAA-GRS-2014-0005-0015</p> <p>Final Disposition Temporary</p>				

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**

Do any of the records covered by this item exist as structured electronic data? **Yes**

Manual Citation	Manual Title
GRS 2.8, item 081	

GRS or Superseded Authority Citation **N1-GRS-01-1, item 2c2**

Disposition Instruction

Retention Period **Destroy 6 year(s) after receipt of the financial disclosure report by the agency or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed.**

Additional Information

GAO Approval **Not Required**

Financial Disclosure Supporting Documentation

Disposition Authority Number **DAA-GRS-2014-0005-0016**

Supporting documentation used to review and verify the filer's report submission. Includes records such as: • reviewer's notes • background research reports • memorialized verbal comments of filer in response to reviewer questions

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**

Do any of the records covered by this item exist as structured electronic data? **Yes**

Manual Citation	Manual Title

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GRS 2.8, item 090	
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Disposition Instruction

Retention Period Destroy at the same time an individual's related financial disclosure report is destroyed or 6 years after the individual has submitted their last financial disclosure report; or when no longer needed for active investigation, whichever is later.

Additional Information

GAO Approval Not Required

Ethics Agreements Records

Records documenting the review and issue of ethics agreements used to remedy the appearance of potential or actual financial conflicts of interest. Includes: • review of recusals, resignations, reassignments, and divestitures • determinations • authorizations • waivers • waivers of disqualifications NOTE: Ethics Pledges and associated waiver certifications are filed in the political appointee's Official Personnel Folder or equivalent folder under the authority of Executive Order 13490 (Jan. 21, 2009): Prescribing Standards of Ethical Conduct for Government Officers and Employees.

Agreements for employees who do not file financial disclosure reports.

Disposition Authority Number DAA-GRS-2014-0005-0017

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

Manual Citation	Manual Title
GRS 2.8, item 100	

GRS or Superseded Authority Citation N1-GRS-01-03, item 3

Disposition Instruction

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10.1

10.2

Retention Period Destroy 6 year(s) after the waiver or other agreed-upon determination or action has been issued or undertaken, or 6 years after it is no longer in effect, or when no longer needed for active investigation, whichever is later. Longer retention is authorized if needed for business use.

Additional Information

GAO Approval Not Required

Agreements for employees who file financial disclosure reports.

Disposition Authority Number DAA-GRS-2014-0005-0018

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

Manual Citation	Manual Title
GRS 2.8, item 101	

GRS or Superseded Authority Citation N1-GRS-01-03, item 3

Disposition Instruction

Retention Period Destroy at the same time as the employee's last related financial report is destroyed or when no longer needed for active investigation, whichever is later. Longer retention is authorized if needed for business use.

Additional Information

GAO Approval Not Required

Agency Certification

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

Signatory Information

Date	Action	By	Title	Organization
09/04/2014	Certify	Margaret Hawkins	Director of Records Management Services	National Records Management Program - Records Management Services
01/29/2015	Submit for Concurrence	Laura McHale	Senior Records Analyst	National Archives and Records Administration - Records Management Services
02/03/2015	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - Records Management Services
02/04/2015	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
02/05/2015	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist